

Handbook on the Grants-in-Aid for Scientific Research (KAKENHI) Program

How to Make More Effective Use of the Program
(For Researchers)
FY2014 Edition



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Research Promotion Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)

Japan Society for the Promotion of Science (JSPS)

Foreword

This Handbook is intended mainly for researchers who are conducting research with financial assistance from the Grants-in-Aid for Scientific Research (KAKENHI) program or intend to apply for a research grant under the program. The basics of the program are outlined here in an accessible format.

Be sure to read through this Handbook in order to further your understanding of the program and to make more effective use of the funds provided under the framework of this program.

KAKENHI are funded by the tax of citizens and other public sources. Those conducting research under this program are expected to observe the rules established by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and the Japan Society for the Promotion of Science (JSPS), as well as rules prescribed independently by each research institution, and to make appropriate and efficient use of the funds.

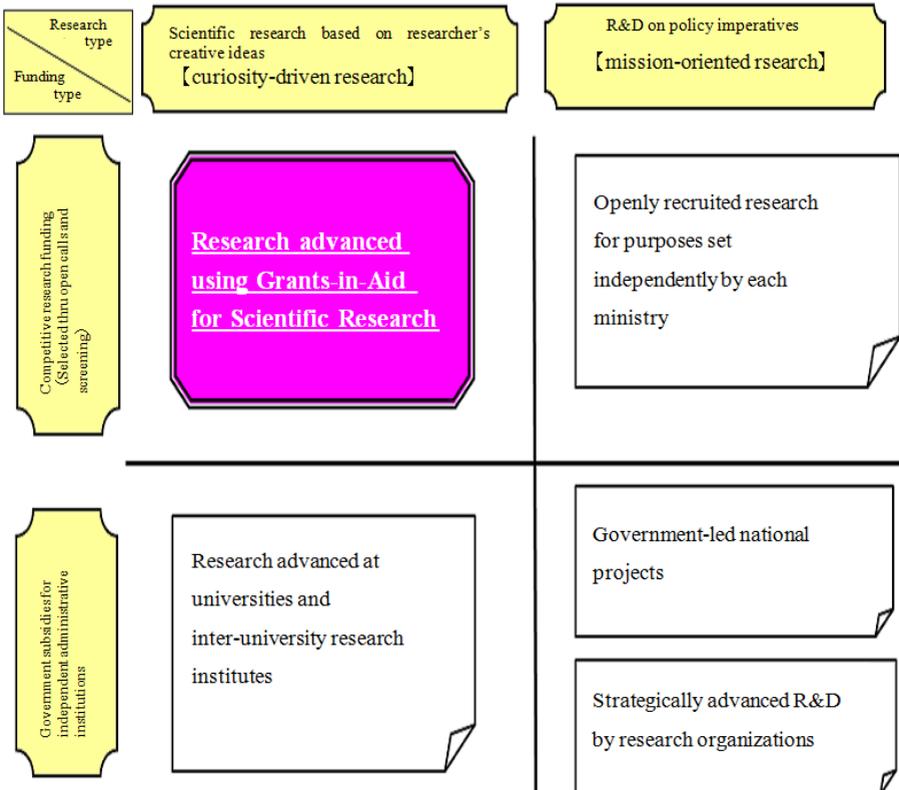
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1. What Is the Grants-in-Aid for Scientific Research (KAKENHI) Program?

The KAKENHI program is the only competitive funding program aimed at all scientific research (i.e. research based on the free ideas of researchers in universities and other research institutions), from basic to applied research in all fields, ranging from the humanities and the social sciences to the natural sciences.

<The position of “KAKENHI” in the policy on the promotion of science, technology, and scientific research in Japan>



○ What is scientific research?

- ◆ Broadly speaking, scientific research is all intellectual work that aims to uncover truth hidden in human beings, society and nature. An intrinsic characteristic of scientific research is a rigorous and systematic inquiry into principles and knowledge, in a free and responsible way, based on the ideas of the researcher.
- ◆ Through scientific research, knowledge supporting the welfare of mankind (i.e. dignified happiness and prosperity based on a stable life and social environment) is accumulated, and a cultural infrastructure is formed. Scientific research based on this is indispensable for further scientific progress and technological development.
- ◆ For these reasons, society can legitimately expect that scientific research will play the following roles:
 - The presentation of guidance in the resolution of problems confronting society, through the discovery, advancement, etc. of new knowledge;
 - The direct and indirect contribution to the promotion of the general welfare of the present members of society;
 - The contribution to enabling future generations to pursue their own general welfare.
- ◆ It is especially important, in the light of the above-mentioned points, that science fosters a rational view of the universe, irrespective of the type, nature, or other elements. In doing so, science plays an important role in the formation of the ability of people to make fair and just judgments on all sorts of issues, including social and economic matters.

○ KAKENHI that support scientific research plays a major role in, and leads to results in, the following matters:

- ◆ The acquisition of international confidence in Japan as an intellectually mature country “that is globally visible”;
- ◆ The development of personnel etc. capable of supporting scientific research;
- ◆ The creation of new social value leading to international scientific prizes, like the Nobel Prize, and the sustainable development of Japan;

- ◆ The emergence of scientific “breakthroughs” that contribute to the enhancement of the regional economy and the quality of life during the process of the scientific research;
- Researchers who pursue scientific research using KAKENHI need to take into account the important meaning and role of such scientific research, and have a grave responsibility, especially with regard to the following points.
 - ◆ The enhancement of the social and cultural value of their own scientific research, in the spirit of indefatigable academic assiduity.
 - ◆ The appropriate use of KAKENHI that are funded by the limited tax of citizens.
 - ◆ The autonomous pursuit of scientific research, based on high standards of research ethics.

Receiving funds through fraudulent means or using funds in a fraudulent manner while conducting research will undermine public trust in scientific research as a whole. It is, therefore, vital that those who utilize public research funds conduct their research activities in accordance with appropriate research ethics.

○ What happens if the rules are not followed?

Those who fail to use the funds appropriately according to the rules will be subject to penalties, including restrictions on fund grants, being asked to return funds, and restrictions on applying for funding.

◆ When KAKENHI are received fraudulently

Return of KAKENHI: Entire amount

Suspension of eligibility to apply: 5 years

(The researcher receiving the funds and those who were involved)

◆ When received KAKENHI funds are used fraudulently

Return of KAKENHI: Part or entire amount

Suspension of eligibility to apply: 1 to 10 years

(The researcher fraudulently using the funds, those who conspired in fraudulent use, and persons responsible for managing the funds that were used fraudulently)

◆ When fraudulent acts are committed during the research (e.g. forged data in a paper, etc.)

Return of KAKENHI: Part or entire amount

Suspension of eligibility to apply: 1 to 10 years

(The individual found to have been involved in the fraudulent acts and persons responsible for the contents of the paper, etc., affected by the fraudulent acts)

Note:

- In all of the above-mentioned cases, the funding of grants will also be suspended for research projects that already have been adopted. It will also become impossible for Co-Investigators (*kenkyū-buntansha*) who have been allotted funds to receive a share of these funds.
- Moreover, in principle, an outline of the fraud, including the names of researchers found to have committed fraud, will be made public.

<The period during which no KAKENHI will be funded to persons who committed fraudulent use>

Object to restrictions on funding	Extent of the fraudulent use		Period during which no KAKENHI shall be funded
I. Researchers who committed fraudulent use and researchers who conspired in such fraudulent acts	1. Diversion of funds for personal gain		10 years
II. Researchers who committed fraudulent use and researchers who conspired in such fraudulent acts	2. Other than “diversion”	(1) Cases where it is judged that the impact on society is major and the severity of the act is high	5 years
		(2) Cases other than (1) and (3)	2 to 4 years
		(3) Cases where it is judged that the impact on society is minor and the severity of the act is low	1 year
III. Researchers who received a KAKENHI by deception or other fraudulent means and researchers who conspired in such fraudulent acts	—		5 years
IV. Researchers who were not directly involved in the fraudulent use, but who violated the duty of due care of a prudent administrator	—		Half of the period of restrictions on funding for researchers who committed fraudulent use (upper limit 2 years, lower limit 1 year, rounding off fractions)

Note: In the following cases, a “strong warning” shall be issued:

- 1. Among the cases mentioned under point II. above, researchers about whom it has been judged that the impact of their acts on society is minor, the severity of their acts is low, and the amount of money related to the fraudulent use is small;**
- 2. Among the cases mentioned under point IV. above, researchers who are considered to have violated the duty of due care of a prudent administrator in funded projects about which it has been judged that the impact of their acts on society is minor, and the severity of their acts is low.**

<The period during which no KAKENHI will be funded to persons who committed fraudulent acts>

Classification with regard to the involvement in the fraudulent acts		Degree of academic and social impact Degree of severity of the acts	Period during which no KAKENHI shall be funded
Persons involved in fraudulent acts	(a) Particularly malicious persons, for example, cases where these persons intended to commit fraudulent acts from the very beginning of the research		10 years
	(b) Authors of papers, etc. related to research in which fraudulent acts have been committed	Authors who bear responsibility for the papers in question, etc.	The impact on the progress of science and the social impact are major, or the degree of severity of the acts is high 5 to 7 years
			The impact on the progress of science and the social impact are minor, or the degree of severity of the acts is minor 3 to 5 years
		Authors other than the above-mentioned	/
	(c) Persons involved in fraudulent acts not mentioned in (a) and (b)		/
Authors who bear responsibility for papers, etc. related to research in which fraudulent acts have been committed, but who are not directly involved in the fraudulent acts		The impact on the progress of science and the social impact are major, or the degree of severity of the acts is high	2 to 3 years
		The impact on the progress of science and the social impact are minor, or the degree of severity of the acts is minor	1 to 2 years

○ Research Categories

Various research categories have been established based on the content and the scale of the research.

Research categories, etc.	Purposes and description of the research category
Grants-in-Aid for Scientific Research	
Specially Promoted Research	Highly regarded research in the international arena that is likely to yield highly acclaimed research achievements and is done by one researcher or by a relatively small group of researchers. (The period is three to five years. As a general indicator, the upper limit of the total budget provided is set around 500 million yen per research project. However, no upper and lower limits have been established.)
Scientific Research on Innovative Areas	(Research in a proposed research area) New research areas that will lead to the upgrading and enhancement of scientific research in Japan. The new research areas are proposed by one researcher or by a group of researchers, and will develop through the effort to cultivate collective research, research personnel, etc. (The period is five years. In principle, the budget is set at around 10 million to 300 million yen per fiscal year per field.)
Scientific Research	(S) Creative/pioneering research done by one researcher or a relatively small group of researchers (The period is five years. The budget ranges from 50 million yen to around 200 million yen per project.) (A)(B)(C) Creative/pioneering research done by one researcher or jointly by multiple researchers (The period is three to five years.) (A) From 20 million to 50 million yen (Classified in A, B or C, depending on the total budget provided)◎(B) From 5 million yen to 20 million yen ★(C) 5 million yen or less
Challenging Exploratory Research	Early-stage research that has a research plan organized by one or multiple researchers, that is based on a unique concept, that is challenging, and that sets a high goal (The period is one to three years. The budget is up to 5 million yen per project.) ★
Young Scientists	(S) Research done by one researcher aged 42 or less (The period is five years. The budget ranges roughly from 30 million yen to 100 million yen per project.) (A)(B) Research done by one researcher aged 39 or less (The period is two to four years. Classified in A or B, depending on the total budget provided.) ◎(A) from 5 million yen to 30 million yen ★(B) 5 million yen or less
Research Activity Start-up	Research done by one researcher who has just been employed by the research institution, by one researcher who returns from childcare leave or other kinds of leave, or other researchers. (The period is up to two years. The budget is up to 1.5 million per fiscal year.)
Encouragement of Scientists	Research done by one person who is an employee of an educational/research institution, a company employee, or others (The period is up to one year. The budget is up to 1 million yen per project.)
Grant-in-Aid for Special Purposes	Funding of urgent and important research projects.

Grant-in-Aid for Publication of Scientific Research Results	
Publication of Research Results	Funding for publication or international dissemination of research achievements of a scientific society with high academic value
Enhancement of International Dissemination of Information	Funding of an effort to further enhance international dissemination of information, in order for academic societies, such as scientific associations, to contribute to international academic exchange.
Scientific Periodicals	Funding of academic journals that are periodically published by a scientific society, an association constituting a cooperative framework of a number of scientific societies, or other bodies, in order to contribute to international academic exchange
Scientific Literature	Funding of Scientific Literature issued by an individual or a group of researchers to disclose scientific research achievements
Databases	Funding of databases created by an individual or a group of researchers for public availability
Grant-in-Aid for JSPS Fellows	Funding of research done by JSPS Fellows, including Foreign JSPS Fellows (for a period of up to three years)

※No new invitation for applications is conducted for “Young Scientists (S)” and “Scientific Periodicals”.

※Among the research categories marked with the sign ★ (Scientific Research (C), Challenging Exploratory Research and Young Scientists (B)), research projects that are newly adopted in from FY2011 onward (hereinafter called “KAKENHI (Multi-year Fund)”) or later will be implemented using KAKENHI (Multi-year Fund).

※Among the research categories marked with the sign ◎ (Scientific Research (B) and Young Scientists (A)), a part of the research projects that are from FY2012 onward (hereinafter called “KAKENHI (Partial Multi-year Fund)”) will be implemented using KAKENHI (Multi-year Fund) (up to 5 million yen out of the total research budget).

※For Specially Promoted Research, a Grants-in-Aid for Scientific Research based on Acts Incurring Liabilities on the Treasury will be granted.

Note: Most screening and issuing of funds for KAKENHI are performed by JSPS.

2. What Are the Rules of the Program?

There are three types of rules: application rules, assessment rules, and utilization rules.

- Application rules: eligibility and rules concerning the applications (Contents of the “Procedures on the call for proposals”)
- Assessment rules: rules concerning the preliminary assessment (screening), the interim assessment, the ex-post assessment, and the research progress assessment (Contents of the “Rules concerning the screening and assessment for Grants-in-Aid for Scientific Research”, etc.)
- Utilization rules: rules concerning the use of KAKENHI (Contents of the “Supplementary conditions” and “Funding conditions” when funding is decided)
- See the KAKENHI website for the application rules, assessment rules and utilization rules, and KAKENHI FAQ about the program.
Ministry of Education, Culture, Sports, Science and Technology (MEXT):
http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm
Japan Society for the Promotion of Science (JSPS):
<http://www.jsps.go.jp/j-grantsinaid/index.html>
- If you still have questions about the rules, please submit an inquiry to MEXT or JSPS through your research institution.



3. What Is the Annual Schedule?

The call for proposals, screening, and other stages are scheduled to enable research to be started as soon as possible.

- Screening takes place with the aim of reaching an informal decision to grant the funding by the beginning of April, so that research funds can be used without interruption.

Example: Schedule for Scientific Research (A), (B), (C), Grant-in-Aid for Young Scientists (A), (B), and Challenging Exploratory Research (FY 2014)

- Start of the call for proposals: September 1 of previous fiscal year
 - Application deadline: November 8 of previous fiscal year
 - Screening period: from early December to middle of March of previous fiscal year
 - Informal decision to grant the funding: April 1
 - Decision concerning the granting of the funding: late June
- **Schedule for Scientific Research (B), (C), (Generative Research Fields)(FY 2014)**
 - Start of the call for proposals: September 1 of previous fiscal year
 - Application deadline: November 8 of previous fiscal year
 - Screening period: from early December to late June of previous fiscal year
 - Informal decision to grant the funding: late July
 - Decision concerning the granting of the funding: late September
 - **Grant-in-Aid for Research Activity Start-up is for researchers who could not submit a proposal during the call for proposals period (September–November of the previous academic year) and therefore follows a different schedule for the call for proposals and screening.**
 - Start of the call for proposals: March 1 of previous fiscal year
 - Application deadline: May 9

4. What Is Eligibility for Applying?

In order to apply, applicants should meet the requirements (1) and (2) below.

(1) At the time of application, applicants should belong to a research institution and meet all the following requirements.

Applicants need to be recognized by a designated research institution (see note below) as being a researcher who meets the requirements a), b), and c) below, and need to be registered in the Cross-ministerial Research and Development Management System (e-Rad) as eligible to apply for a grant-in-aid.

Requirements

- a) The researcher should belong to the research institution as someone whose duties include performing research activities within the institution (regardless of whether the work is paid or unpaid, full-time or part-time; nor is it necessary for these research activities to be the researcher's main duty).
- b) The researcher should actually be engaged in research activities at the institution. (This does not apply to those engaged only as a research assistant.)
- c) The researcher is not a graduate student or other category of student. (This does not apply to persons whose position consists of conducting research activities in their institution as their main work (e.g., university teaching staff, researchers from companies, etc.) and who also have a student status.)

Note:

A research institution as defined in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education, Culture, Sports, Science and Technology (MEXT))

- 1) Universities and inter-university research institutions
- 2) MEXT facilities and other institutions engaged in scientific research
- 3) Technical colleges
- 4) Institutions designated by the Minister of Education, Culture, Sports, Science and Technology (MEXT)

(2) Applicants should not have been designated as “Not eligible to apply for receipt of funding in FY2014”, due to having committed fraudulent use, fraudulent receiving of grants, or fraudulent acts using Grants-in-Aid for Scientific Research or other competitive funding.

5. What Issues Need to Be Considered When Applying?

Applicants should carefully confirm the contents of the Application Procedures, which are updated annually.

○ Applicants should be sure to check the following three matters carefully before applying.

(1) Confirm that you are eligible to apply (see p. 11).

(2) Confirm the registration of your researcher information.

- The procedures for registration of researcher information and for revision of that information are performed by your research institution using e-Rad.
- Applicants should check with the person responsible for this in their research institution for details of the procedures.

(3) Obtain an ID and a password to use the Electronic Application System.

- Your e-Rad ID and password are provided by your research institution.

○ Applicants should take special care regarding the following matters when applying.

- When applying for multiple research projects, the restrictions regarding unreasonable reduplication, excessive concentration, or duplicate application
- Errors or omissions in filling out the application information
- Note that corrections and resubmission are not possible once the application documents have been submitted.
- When one or more Co-Investigators (*kenkyū-buntansha*) are added to the research team, applicants should ensure to collect their consent in the form of Written Consent of the Co-Investigator (*kenkyū-buntansha*), and retain it.

The Principal Investigator, Co-Investigators (*kenkyū-buntansha*), Co-Investigators (*renkei-kenkyūsha*), and Research Collaborators setting up a research team are defined as follows.

○ **Principal Investigator (member of the funded project)**

The researcher with full responsibility for the implementation of the funded project

○ **Co-Investigator (*kenkyū-buntansha*) (member of the funded project)**

A researcher responsible for carrying out the funded project along with the Principal Investigator, who receives a share of the funds from the Principal Investigator and has discretion in using the funds for research expenses

○ **Co-Investigator (*renkei-kenkyūsha*) (not a member of the funded project)**

A researcher who participates as a member of the research team but does not have discretion regarding the use of the grant-in-aid funds

- In order to become a Co-Investigator (*kenkyū-buntansha*) or Co-Investigator (*renkei-kenkyūsha*), applicants need to be eligible to apply (see p. 11).
- The difference between the two types of Co-Investigators relates to their position in the research funding system and not in the relative importance of their roles in the research activities.

○ **Research Collaborator (not a member of funded project)**

A researcher who cooperates in carrying out the research project

- Even a person who is not eligible to apply for funding can participate as a Research Collaborator.
- A Research Collaborator, like a Co-Investigator (*renkei-kenkyūsha*), does not have discretion regarding the use of the grant-in-aid funds.

6. How Are Applications Screened?

A peer-review screening process is carried out in order to select high quality research projects.

○ Disclosure of the screening policies and criteria

- See the MEXT and JSPS KAKENHI websites for information about screening.

Ministry of Education, Culture, Sports, Science and Technology (MEXT):

http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

Japan Society for the Promotion of Science (JSPS):

<http://www.jsps.go.jp/j-grantsinaid/index.html>

○ Disclosure of the screening results for research projects that were not adopted

- Through the electronic application system, the approximate ranking (A, B, C) per research field and the score and the “standard-format opinion” of the first stage of the screening for Scientific Research, Grant-in-Aid for Young Scientists and some other categories are disclosed.
- The opinions expressed in the screening results for Specially Promoted Research, Scientific Research on Innovative Areas, etc., are disclosed.

○ Elimination of unreasonable reduplication and excessive concentration

- In some cases, an application will not be adopted because the screening process determined that there was unreasonable reduplication or excessive concentration in applying for competitive funding.

○ More than 6,000 researchers are involved in the screening process

- In order to ensure the fair selection of the highest quality screening committee members, JSPS makes use of a database of screening committee candidates (with approximately 75,000 persons registered) consisting largely of researchers who themselves were selected for KAKENHI funding.
- Upon completion of screening, the names of the screening committee members are disclosed on the KAKENHI website.

○ Audit of screening

- After screening is completed, an audit and analysis of the screening is carried out. If a screening committee member is suspected of improper actions in the screening process, that person will be disqualified from screening in the next fiscal year, among other measures taken to ensure fair screening.

7. What Types of Grants Are Available?

Depending on the research category, Series of Single-year Grants, Multi-year Fund, and Partial Multi-year Fund are issued.

In FY2011, JSPS created a fund for multiple fiscal years for some KAKENHI research categories.

As a result, the existing Grants-in-Aid for Scientific Research (a Series of Single-year Grants) and the Multi-year Fund are granted according to the following classifications.

(1) Research categories for which grants are issued as Series of Single-year Grants

- These are for research categories other than those listed in (2) and (3), such as Specially Promoted Research and Scientific Research (S), (A), etc.
- The decision to grant funding is made each fiscal year.
- For Specially Promoted Research, the decision to grant the funding is made for multiple fiscal years, from the initial fiscal year of the research period to the final fiscal year.

(2) Research categories for which grants are issued as Multi-year Fund

- These are for research projects newly adopted in FY2011 or later for the categories Scientific Research (C), Challenging Exploratory Research, and Grant-in-Aid for Young Scientists (B).
- The decision to grant the funding is made for multiple fiscal years, from the initial fiscal year of the research period to the final fiscal year.

(3) Research categories for which grants are issued as Series of Single-year Grants and Multi-year Fund (Partial Multi-year Fund)

- These are for research projects newly adopted in FY2012 or after for the categories Scientific Research (B) and Grant-in-Aid for Young Scientists (A).
- Of the total research budget, up to 5 million yen is covered by a Multi-year Fund and the remaining by Series of Single-year Grants.

8. What Are “Series of Single-year Grants”?

Research funds are used each fiscal year; but if certain conditions are met they can be used ahead of schedule or carried over to the next fiscal year.

- If the funded project is not expected to be completed for unavoidable reasons that could not be anticipated at the time of the decision to grant the funding, research funds can be carried over to the next fiscal year for use.
 - Examples of cases where funds can be shifted to the next year are as follows.
 - Example 1: Continuation of research was temporarily impeded by an earthquake, a tsunami, torrential rain, etc.
 - Example 2: The original schedule had to be changed because new knowledge was obtained that could not have been anticipated, and considerable extra time is required as a result.
 - Example 3: Due to public security problems in the country where a person planned to travel, it became necessary to postpone the time of the travel and to consider an alternative plan, and the research plan has, consequently, been delayed.
- In FY 2014, the “Adjustment Fund” has been improved, enabling “Single-year Grants” to be used ahead of schedule or to be used in the next fiscal year, if certain conditions are met.
 - The upper limit of the amount of the share to be used in the next fiscal year has in principle been abolished (the amount not used in the previous fiscal year: 90 percent → entire amount).
 - The lower limit of the unused amount that is intended to be used in the next fiscal year has been reduced, and research projects to which this applies have been expanded (100,000 yen or more → 50,000 yen or more).

- Acceleration by two months of the issuing of funds from the Adjustment Fund, due to a simplification of the application procedures (In case of use in the next fiscal year: around late October → around late August)

- See the following website for details of Adjustment Funds.
Ministry of Education, Culture, Sports, Science and Technology (MEXT):
http://www.mext.go.jp/a_menu/shinkou/hojyo/1330870.htm

- **Starting from FY2013, Acts Incurring Liabilities on the Treasury have been introduced for Specially Promoted Research, and the decision to grant the funding is made from the initial fiscal year of the research period to the final fiscal year.**

- With this measure, if for example the production of a research equipment for the research project is contracted over multiple fiscal years, funds can be disbursed each fiscal year based on the progress in making that equipment (i.e., how much of it has been completed).

9. What Is the Multi-year Fund?

Research funds can be used based on the progress of the research, without sticking to fiscal year divisions.

- Research funds can be used ahead of schedule based on the progress of the research.
- Research funds can be carried over to the next fiscal year without prior authorization procedures.
- Goods can be purchased across fiscal years.
 - Another advantage is that during the period of the funded project, researchers can concentrate on the research without worrying about fiscal year divisions. There is no need to “use up” the funds at the end of each fiscal year. In consequence, it is expected that researchers are able to utilize the funds more effectively and efficiently.

It is expected that researchers will be able to come up with even more original research achievements.

10. When Do the Funds Become Available for Use?

The KAKENHI can be used without interruption after receiving a notification of the informal decision to grant the funding in the initial fiscal year until the end of the final fiscal year.

- Research work can be started from April 1 (with the exception of some new projects in large-scale research categories).
 - “Research work can be started” means that even before a KAKENHI is sent and received, the necessary contracts (e.g. purchasing of goods, hiring of Research Collaborators, etc.) can be concluded and actual research activities can be started.

- Research funds for the first term of the fiscal year are sent to each research institution by June, and those for the second term by October.
 - In the case of a Multi-year Fund, in the second and following fiscal years, KAKENHI for the first term are sent each year at the beginning of the fiscal year.

- With regard to the Series of Single-year Grants, delivery of goods and provision of services necessary for the research should be completed by March 31 of that fiscal year.
 - In the case of Multi-year Fund, KAKENHI can be used across fiscal years (e.g., purchasing goods across fiscal years), as long as this is done within the period of the funded project.

Note: Recipients of grants should ask their research institution for any clarification.

- If at the time of the completion of the period of the funded project, there remains an unused amount of money, this amount should be returned. There will not be any disadvantageous treatment during later KAKENHI screening, due to a return of an unused amount of money.

11. What is Management by Institutions?

Management and procedures for Grants-in-Aid for Scientific Research are carried out by research institutions.

Reasons for having research institutions perform the management of Grants-in Aid for Scientific Research

(1) To reduce the burden on researchers

- Researchers can thereby concentrate on their research.

(2) To prevent rules from being violated inadvertently

- Researchers, who may not be familiar with accounting procedures, etc., are thereby prevented from making mistakes.

When using KAKENHI, researchers should observe the supplementary conditions and the funding conditions in the utilization rules, as well as the accounting rules prescribed by the research institution to which they belong.



12. What Do Direct Costs Cover?

The funding can be used broadly and flexibly to cover expenses directly needed for research.

- The funding can be used to purchase equipment needed for research, travel expenses, personnel expenditure and remuneration and other expenses necessary for carrying out the research (i.e., costs necessary for the implementation of the research in question).
- The funding can also be used for the following:
 - Costs for hiring Research Collaborators
The research institution should, as one of the parties concerned, conclude an employment contract with such persons making clear the nature of their work, working hours, etc.
 - Costs for renting research space
Rent, deposits, charges for space inside the research institution, etc.
(Limited to cases where research cannot be conducted in the research institution)
 - Costs involved in disposing of waste materials generated during the implementation of the research project
 - Cost for repairing equipment used in the research covered by the KAKENHI
KAKENHI can also be used to repair equipment purchased by funds other than those provided as KAKENHI.
 - Costs for food provided when holding a symposium, etc.
KAKENHI cannot be used to pay for alcoholic drinks.
 - Costs for “outreach” activities such as publishing the research achievements in academic journals, creating a homepage, creating a pamphlet publicizing the research achievements, and publicizing research achievements among the general public
- Other researchers may use equipment purchased using KAKENHI, as long as it does not interfere with the research.

In what cases can the funds not be used?

- For purposes other than the research described on the application for funding, or for other activities not directly related to the research
 - Even if the provided research funds are used economically, they cannot be diverted for use on other research.

- KAKENHI cannot be used for the following:
 - Costs for buildings and other facilities
(This prohibition does not apply to the costs of installing equipment purchased by the researcher using KAKENHI funds.)
 - Costs for handling accidents or disasters occurring during the research
 - Personnel expenditure and remuneration for the Principal Investigator or Co-Investigators (*kenkyū-buntansha*)
 - Other costs which fall under indirect costs

- Use of KAKENHI together with other funds
However, the following cases are permissible.
 - For a single trip involving both business related to the funded project and other business, the expenses related to the funded project are clearly distinguished from the other expenses
 - When purchasing consumables, etc. used also for other purposes, the costs for usage related to the funded project are clearly distinguished from other usage
 - When other funds (except when there are restrictions on uses of those funds, such as commissioned work costs, subsidies for current expenditures to private universities, other KAKENHI funds and indirect costs, etc.) are added to direct costs and used for the funded project
 - When purchasing equipment for joint use in multiple funded projects in the same research institution, by adding direct costs, etc. of the funded project covered by other KAKENHI in the same research institution to the indirect costs

13. What Are Indirect Costs?

Indirect costs are funds provided to the research institution to support the research activities for which KAKENHI was granted, as well as to upgrade their research environment.

- Indirect costs are intended for the research institution of the researcher receiving KAKENHI.
 - The amount of funds provided for indirect costs are 30 percent of the direct costs.

- If the head of the research institution determines that indirect costs are “costs necessary for management, etc., of the research institution in carrying out the funded project”, the funds can be allocated to broader uses in the research institution than the usage examples below.

- Usage examples of indirect costs
 - Personnel costs (use as personnel costs for the Principal Investigator and Co-Investigators is not prohibited)
 - Assignment of technical personnel for sharing of equipment and maintenance of shared equipment
 - Facility costs (maintenance and management costs, etc.)
 - Equipment costs (purchase costs, operation costs, etc.)
 - Library costs (facility maintenance costs, upkeep costs, management costs)
 - Costs of consumables for shared photocopy machines, printers, etc.
 - Costs of research publicity activities
 - Necessary costs for management procedures related to competitive funding
 - Patent application costs, patent attorney fees, cost of requesting screening, etc.

14. Can a Research Plan Be Modified?

Based on the progress of research, the following changes can be made.

- **Changes in allocation of expenses (within a range of 50% of the total amount)**
 - For each expense item (expenses for goods, travel expenses, personnel expenditure and remuneration, etc.), allocation of expenses can be changed freely within a range of 50% of the total amount of the direct costs (up to 3 million yen if 50% of the total amount of the direct costs is no more than 3 million yen).

- **Changes to the following items described on the application for funding**
 - “Division of roles”, “direct costs (allocation of shares to each researcher)” (change in amount of shares), “research implementation schedule”, “details of the main goods”, etc.

Note:

Since research activities are by their nature subject to change as the research develops, the above changes are left to the discretion of the researchers and research institutions. It is important, however, that the decision be made properly, always from the standpoint of effectively carrying out research in order to achieve the original research objectives.



The following changes can be made, if the appropriate procedures are followed.

○ Major change in allocation of funds

- Researchers need to go through the necessary procedures for changing allocation to each expense item if the amount of the change exceeds 50% of the total amount of the direct costs (or 3 million yen if 50% of the total amount of the direct costs is no more than 3 million yen).

○ Addition or removal of a Co-Investigator (*kenkyū-buntansha*)

- Applicants should note carefully that changing a Co-Investigator (*kenkyū-buntansha*) to a Co-Investigator (*renkei-kenkyūsha*) participating on the same research team amounts to removal of a Co-Investigator (*kenkyū-buntansha*).

○ Extension of the research period due to childcare leave, etc.

- If applicants go through the necessary procedures, the funded project period can be extended based on the amount of childcare leave (or maternity leave) taken.

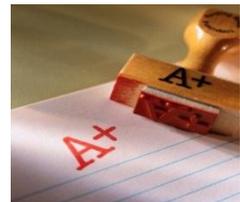
○ Change in research institution to which the Principal Investigator belongs

- Notification should be filed in case of a change in the research institution to which the Principal Investigator belongs. However, if the applicant moves to a research institution that is not eligible for receiving KAKENHI, continuation of the research using KAKENHI will not be permitted.

15. What Assessment is Performed Following Adoption?

Self-assessment or third-party assessment can be used as a basis for reviewing research conducted or for leading to development into new research.

- Self-assessment by researchers is conducted for all research projects after the end of each fiscal year (when preparing research performance report, etc.).
 - The contents of the assessment are published on the Database of Grants-in-Aid for Scientific Research (KAKEN).
- In the case of Specially Promoted Research and Scientific Research (S), a research progress assessment is carried out (document-based or interview-based) in the fiscal year before the final fiscal year of the research period.
 - For Specially Promoted Research, a document-based follow-up assessment also will be performed five years after the completion of the research period.
- For Scientific Research on Innovative Areas, an interview-based interim assessment is carried out in the third year after the setting of the research area and an interview-based ex-post assessment after the completion of the research period.



16. How Are the Research Performance and Achievements Disseminated?

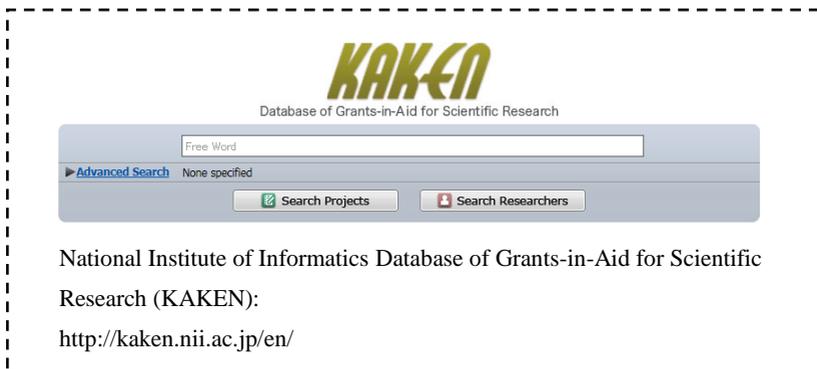
Disseminating and publicizing the research performance and achievements are important for promoting the use of the research results to society and for deepening public understanding of the Grants-in-Aid for Scientific Research program.

○ Writing a report on research performance is mandatory.

- Researchers should write a performance report using the designated form upon completion of the research and at the end of each fiscal year (if the extending of funding across fiscal years has been allowed).
- For KAKENHI of the Multi-year Fund type, a report on the state of implementation is made as a form of annual dissemination. The report on the research performance is made after completion of the research.

○ Writing a report on research achievements is mandatory.

- When the research period is completed, researchers should submit a report on the research achievements.
- The report on the research performance, the report on the state of implementation of the research, and the report on the research achievements are published using the Database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics.



17. What about Publication of Research Achievements?

Researchers should be sure to indicate that the research achievements have been obtained as a result of a KAKENHI.

- When publishing research achievements that have been obtained as a result of a KAKENHI, researchers should always be sure to indicate that a KAKENHI was received.
- If the indication that support was received in the form of a KAKENHI grant is to be made in the acknowledgments, researchers should include the 8-digit MEXT/JSPS KAKENHI Grant Number.
 - When the funds were granted by MEXT:
8-digit MEXT KAKENHI Grant Number
 - When the funds were granted by JSPS:
8-digit JSPS KAKENHI Grant Number

Researchers should be sure to follow this procedure.

- Examples of the appropriate format for the indication in the acknowledgments are given below.

When one KAKENHI has been used to write the paper (Grant Number 12345678)

- English: This work was supported by JSPS KAKENHI Grant Number 12345678.
- Japanese: 本研究は JSPS 科研費 12345678 の助成を受けたものです。

When multiple KAKENHI have been used to write the paper (three in this case) (Grant numbers xxxxxxxx, yyyyyyyy, zzzzzzzz)

- English: This work was supported by JSPS KAKENHI Grant Numbers xxxxxxxx, yyyyyyyy, zzzzzzzz.
- Japanese: 本研究は JSPS 科研費 xxxxxxxx, yyyyyyyy, zzzzzzzz の助成を受けたものです。

Note:

When indicating in the acknowledgments that support was received in the form of a KAKENHI grant, there is no need to distinguish between Series of Single-year Grants and Multi-year Fund.

- When announcing the achievements of research funded with a KAKENHI at an academic society meeting, a symposium, or other meetings, researchers should make use of the KAKENHI logo whenever possible.

KAKENHI logo

科研費

K A K E N H I



The logo can be downloaded from the following websites.

Ministry of Education, Culture, Sports, Science and Technology (MEXT):

http://www.mext.go.jp/a_menu/shinkou/hojyo/1321563.htm

Japan Society for the Promotion of Science (JSPS):

http://www.jsps.go.jp/j-grantsinaid/06_jsps_info/g_120612/index.html

Inquiries:

**Scientific Research Aid Division, Research Promotion Bureau
Ministry of Education, Culture, Sports, Science and Technology**

3-2-2 Kasumigaseki, Chiyoda-ku, Tokyo 100-8959 JAPAN

Tel. 03-5253-4111 (ext. 4094, 4087, 4317, 4316)

Website: http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

**Research Aid Division I, II, Research Program Department
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Tel. 03-3263-4682, 4758, 4798, 0980, 4702, 4326, 4632 (Grants-in-Aid for Scientific Research)

03-3263-4926, 1699 (Grant-in-Aid for Publication of Scientific Research Results)

Website: <http://www.jsps.go.jp/j-grantsinaid/index.html>